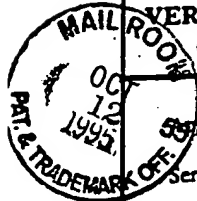


09843278.042401

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.7(c))--SMALL BUSINESS CONCERN	Docket Number (Optional)
Applicant or Patentee: <u>MOPEX, INC.</u>	
Serial or Patent No.: _____	
Filed & Issued: <u>OPEN END MUTUAL FUND SECURITIZATION PROCESS</u>	
I hereby declare that I am <input checked="" type="checkbox"/> the owner of the small business concern identified below: <input checked="" type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below:	
NAME OF SMALL BUSINESS CONCERN <u>MOPEX, INC.</u> ADDRESS OF SMALL BUSINESS CONCERN <u>309 West 57th St. #1707</u> <u>NY NY 10019</u>	
<p>I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR 1.21.1; and reproduced in 37 CFR 1.9(d). For purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.</p> <p>I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:</p> <p><input type="checkbox"/> the specification filed herewith with title as listed above. <input checked="" type="checkbox"/> the application identified above. <input type="checkbox"/> the patent identified above.</p> <p>If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).</p> <p>Each person, concern or organization having any rights in the invention is listed below: <input checked="" type="checkbox"/> no such person, concern, or organization exists. <input type="checkbox"/> each such person, concern or organization is listed below.</p> <p>Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)</p> <p>I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))</p> <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.</p>	
NAME OF PERSON SIGNING <u>Kenneth KIRON</u>	
TITLE OF PERSON IF OTHER THAN OWNER <u>PARTNER / PRINCIPAL</u>	
ADDRESS OF PERSON SIGNING <u>309 West 57th St. #1707 NY NY 10019</u>	
SIGNATURE <u>KKK</u> DATE <u>10/10/95</u>	



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VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 7(b))--INDEPENDENT INVENTOR

Docket Number (Optional)

Applicant or Patentee: Kenneth K. Ror
Serial or Patent No.: _____

Filed or Issued: _____
Title: Open end Mutual Fund Securitization Process

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization exists.
- ☒ Each such person, concern or organization is listed below.

Mopex, INC.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Kenneth K. Ror
NAME OF INVENTOR
[Signature]
Signature of inventor
10/12/95
Date

Kevin Bander
NAME OF INVENTOR
[Signature]
Signature of inventor
10/11/95
Date

NAME OF INVENTOR

Signature of inventor

Date



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37
CFR 1.27(a) AND 1.27(b)-Independent Inventor

As a below named inventor, I hereby declare that I qualify as an independent inventor
as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under Section 41(a) and (b)
of Title 35, United States Code, to the Patent and Trademark Office with regard to the
invention entitled open end Mutual Fund described in
Securitization Process

☒ the specification filed herewith

☐ application serial no. _____, filed _____

I have not assigned, granted, conveyed or licensed and am under no obligation under
contract or law to assign, grant convey or license, any rights in the invention to any person
who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person
had made the invention, or to any concern which would not qualify as a small business
concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.27(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or
licensed or am under an obligation under contract or law to assign, grant, convey, or license
any right in the invention is listed below:

☐ no such person, concern, or organization

☒ persons, concerns, or organizations listed below*

*Note: Separate verified statements are required from each named person, concern, or
organization having rights to the invention averring to their status as small entities. (37 CFR
1.27)

FULL NAME MOPEX, INC.

ADDRESS 309 West 57th St #1707

NY, NY 10019

☐ Individual ☒ Small business

☐ nonprofit organization

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I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fees due after the date on which status as a small entity is no longer appropriate. (37 CFR 128(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon, or any patent to which this verified statement is directed.

Full name of sole or first inventor

Kenneth KIRON

Inventor's signature

K.K.K.

Date

10/10/95